

# MONTH END ACTIVITY REPORT

## Bureau of Securities April 2010

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	90	457	547
Oversales	0	0	0
Renewal Filings	480	1,128	1608
New Notice Filings	134	108	242
Common Stock	1	0	1
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	1	0	1
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	4	0	4

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	13	0	13
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	4	0	4
Gain/Loss Broker-Dealers	9	0	9
Total BD's Registered as of April 30, 2010	1392	28	1420
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1913	0	1913
Denied	0	0	0
Terminations	954	0	954
Gain/Loss Agents	959	0	959
Total BD Agents Registered as of April 30, 2010	72781	53	72834

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	0	8	8
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	2	2
Denied	0	0	0
Gain/Loss effective registrations	0	6	6
Total IA's Registered as of <b>April 30, 2010</b>	66	1030	1096
Investment Adviser Representatives			
Activity	State	Federal	Total
New	0	45	45
Denied	0	0	0
Terminated	0	32	32
Gain/Loss effective registrations	0	13	13
Total IAR's Registered as of <b>April 30, 2010</b>	172	3048	3220

Exemptions			
Exemption Type	Number		
8-1108.02(2)	45		
8-1108.02(3)	0		
8-1111(16)	0		
8-1110(5)(b)	0		
8-1111(20)	0		
8-1110(8)	0		
8-1111(9)	19		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
Total Exemptions as of <b>April 30, 2010</b>	64		